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Transfer Registries

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TIES PROGRESS REPORT *

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I. Introduction

This document will report on the progress made by TIES in the exchange of information since the last meeting of Heads of Technology Transfer Registries in October 1984 in Beijing, China. The report will briefly describe the current status of TIES information exchange at the various levels (TIES I, IIA, IIB, Service), ad-hoc information exchange, TIES Newsletter and Country profiles. Furthermore it will report on the proposal for a new TIES Coding Form and on the computer information processing changes envisaged at UNIDO Headquarters.

II. Current Status of Information Exchange

A. TIES I

TIES I information, covering aggregate data on such aspects as royalty rates level of foreign holding, supplier country etc. by Industrial Sector, has been exchanged over the period January - June and July - December by the following countries.

	January - June 1984	July - December 1984
Argentina	153	206
Philippines	42	28
Portugal	91	84
Poland	0	0
Peru		104 1/
Egypt		39 2/

1/ Covering 1984

2/ Covering 1984 and agreements associated with foreign investment only

For the preparation of the TIES annual report on technology transfer, aggregate data (however not in TIES I format) was received from Mexico, China and Spain. In this context it must be noted that China submitted detailed TIES I tables over the period 1983, indicating that because of a delay in information processing 1984 TIES I information will be forthcoming. Furthermore Venezuela has prepared TIES I tables over the period of 1984 which have not yet been received at UNIDO Headquarters.

It can be observed that some ten countries are participating at the aggregate level, which is with respect to the previous reporting period some improvements.

B. TIES II

TIES II data, covering information from registered contracts has been exchanged over the period January - June and July December 1984 of the following countries.

TIES II A	January - June 1984	July - December 1984
Poland	0	0
Philippines	153	206
Portugal	91	84
TIES II B		
Colombia	47	
Egypt		39 1/
Peru		104 2/

1/ Covering 1984, TT contracts with DFI only

2/ Covering 1984

It must be noted that Venezuela has indicated that the 1984 TIES II B information has been sent, which has not yet been received. With respect to the commitment of TIES II members it can be observed that no information has been received from Ecuador, Republic of Korea and Nigeria if compared with the previous reporting period. It should be observed that Malaysia and Philippines only participate at TIES I level and that the compatibility problems of computerized information systems of Spain can only be resolved when introducing new TIES format.

C. Service Agreements

No information has been exchanged on service agreements.

III. Special Requests

Special requests have been received from

1.	Nigeria	hotel management contracts	advice has been given on basis of UNIDO experience and information from countries
2.	Malaysia	royalty rates manufacturing disc brace	advice has been given on basis of UNIDO experience and information from countries
3.	Nigeria	level of payment on technical assistance/service agreement in steel industry	advice has been given on basis of UNIDO experience and information from countries
4.	Malaysia	royalty rate on license/technical assistance on packaging material	advice has been given on basis of UNIDO experience and information from countries

5.	Egypt	engineering, instructors fees knowhow agreement manufacturing big boiler and pressure vessels	advice has been given on basis of UNIDO experience and information from countries
6.	Malaysia	evaluation/approval criteria on sales commission agreements	advice has been given on limited UNIDO experience
7.	Venezuela	Technology suppliers for mobile cleaning of high voltage insulators.	request has been transferred to INTIB

The response of the TIES members has been reasonable and assistance has been provided. It must be observed that two requests are related to engineering fees, which will be discussed in a separate paper.

IV. Country Profiles 1984 - 1985

Updated country profiles have been received from China, Colombia, Ethiopia, India, Malaysia, Nigeria, Peru, Philippines, Portugal, Republic of Korea, Argentina, Senegal and Poland. These country profiles have been published in the TIES Newsletter and have also been used as an input to the 1984 annual on trends in technology transfer.

V. New TIES Coding Form and Information Exchange Rules

With respect to the desire to simplify the TIES information exchange procedures and to limit the exchange format to one, a merging and modification of the TIES license and TIES service agreement was proposed. A draft was prepared and discussed. It was then agreed that comments on the proposed new format could be forwarded by 1 March 1985 and that consultation with regional organizations involved with information exchange on technology transfer agreements, SAIT in particular, should be held.

Comments have been received from the SAIT Secretariat and incorporated in the new TIES Coding Form (Annex I) and new TIES information exchange rules (Annex II). The meeting is expected to agree on a final format as to start with this format for the period January - June 1986.

VI. Computer Processing Facilities at UNIDO Headquarters

If from the 1st of January 1986 a new TIES Coding Form will be introduced the present TIES software has to be adapted to this new input format and new information exchange requirements. This software adaptation could be completed before the 1st of July 1986. In order to have quick access to the TIES data base, to be able to organize a bibliographic search and to maintain the possibility of information exchange on tapes, floppies and hard copy, the present batch dual system (TIES license and TIES service) has to be converted to one on-line system on the mainframe accessible through intelligent terminal with possibility of interaction with PC system for local loading/unloading of information. As such TIES data input would be either performed on tape through the main frame or on floppy disc through CORIS/PC, while manual input would be possible through PC or directly through mainframe facilities.

UNIDO

ANNEX I

TIES CODING FORM

I IDENTIFICATION

ID KEY

RECIPIENT COUNTRY CODE

RECIPIENT TYPE

☐ STATE OR GOVERNMENT ☐ PRIVATE ☐ MIXED

☐ CO-OPERATIVES

COUNTRY OF FOREIGN HOLDING

II RECIPIENT

COUNTRY CODE

INDUSTRIAL CODE

FOREIGN HOLDING

RECIPIENT NAME

ADDRESS LINE 1

ADDRESS LINE 2

III SUPPLIER

SUPPLIER NAME

ADDRESS LINE 1

ADDRESS LINE 2

UNCTC-SUPPLIER COMPANY CODE

SUPPLIER COUNTRY CODE

IV CONTRACT (general)

OBJECT _____

_____

_____

INDUSTRY CODE (ISIC)

PRODUCT CODE 1

PRODUCT CODE 2

Contract class

☐ LICENCE ☐ TA ☐ MANAGEMENT ☐ SOFTWARE ☐ JOINT VENTURE ☐ TURN KEY ☐ OTHER

Associated contracts

☐ EQUIPMENT SUPPLY ☐ LOANS ☐ SALES

COMMENTS

PROCESS

PROCESS

CONTRACT DATE OF APPROVAL ____ CONTRACT DURATION ____

COLLABORATION TYPE

- ☐ LEASING FRANCHISING
- ☐ KNOW-HOW
- ☐ TRADE MARK
- ☐ PATENT
- ☐ BASIC ENGINEERING
- ☐ DETAILED ENGINEERING
- ☐ MANAGEMENT OF CONSTRUCTION SET-UP
- ☐ START-UP SUPERVISION
- ☐ PRODUCTION SUPERVISION
- ☐ EQUIPMENT REPAIR AND MAINTENANCE
- ☐ PREINVESTMENT CONSULTING
- ☐ TURN KEY
- ☐ CONSTRUCTION OR SET-UP
- ☐ ADMINISTRATIVE SUPERVISION
- ☐ MARKETING
- ☐ TRAINING
- ☐ TRAINING HOME
- ☐ TRAINING ABROAD
- ☐ QUALITY CONTROL
- ☐ OTHERS

V CONTRACT TERMS

☐ **ROYALTY**

ROYALTY % A (Net sales) ____ ROYALTY % B (Net sales) ____ ROYALTY B LEVEL ____ ROYALTY (Others) ____ DESCRIPTION ROYALTY BASE (If not net sale) ____

COMMENTS _____

_____

☐ **LUMP SUM**

LUMP SUM PAYMENT ____ EXCHANGE RATE ____ CURRENCY CODE ____

COMMENTS _____

_____

☐ **REIMBURSABLE FEES**

	MONTH	DAY	HOUR	EXCHANGE RATE	FEE
☐ PROJECT MANAGER	☐	☐	☐	____	____
☐ SENIOR PROFESSIONAL	☐	☐	☐	____ CURRENCY CODE	____
☐ PROFESSIONAL	☐	☐	☐		____
☐ JUNIOR PROFESSIONAL	☐	☐	☐		____
☐ SENIOR TECHNICAL	☐	☐	☐		____
☐ TECHNICAN	☐	☐	☐		____

COMMENTS _____

_____

_____

PERSONNEL EXPENSES COVERED BY RECIPIENT

- ☐ TRAVEL
- ☐ ACCOMMODATION
- ☐ PAID LEAVE
- ☐ FAMILY TRAVEL/ EXPENSES
- ☐ INSURANCE

GUARANTEES	PENALTIES	DESCRIPTION OF PENALTY
☐ PROCESS PERFORMANCE	☐ PROCESS PERFORMANCE	_____
☐ EQUIPMENT PERFORMANCE	☐ EQUIPMENT PERFORMANCE	_____
☐ TIME	☐ TIME	_____
☐ PATENT VALIDITY	☐ PATENT VALIDITY	_____

ANNUAL APPROVED PAYMENTS _____ TOTAL APPROVED PAYMENTS _____

ANNEX II

TIES INFORMATION EXCHANGE RULES

1. TIES participants are those institutions which exchange information on technology transfer agreements on a confidential, reciprocal, equal and mutual beneficial basis.

2. Each participant will cover the expenditure of processing the information to be exchanged to the required TIES format and will cover the expenditure of forwarding this information to UNIDO.

3. UNIDO will cover the expenditure of processing the information received from the TIES members Institutions and provide the members with a regular update of the database.

4. All TIES participants participate at TIES I level, which is information on the number of contracts by ISIC industry code (four digits) and by duration, type of payment, level of foreign holding, level of royalty, expected payments over duration of contract, yearly payments, collaboration type, supplier country.

5. All TIES participants participate at TIES II level. There are three possible levels of participation namely TIES IIM , TIES II A and TIES II B.

5.1 TIES II M

A periodical exchange of minimum non-financial data on a contract, indicating ID key - recipient country (code), supplier country, supplier name, SITC product code, ISIC industry code, object of the agreement.

Example:

TIES DATA EXCHANGE LEVEL - M PERIOD : 85-1
ID Key : 000010
Recipient country code : POL
Supplier country code : GFR
Supplier company name : NIXDORF COMPUTER AG.

Industry code (ISIC) : 3825
Product code (SITC) : 752.5 ;
Object : **licence for optical character reader with software for computer 1-1**

5.2 TIES II A

The periodical exchange of non-financial data on a contract indicating ID key; information on recipient namely: country code, industrial code, foreign holding, country of foreign holding, company type, name and address; information on supplier namely: name, address, country code, UNCTC code; information on contract namely, object, industry code, product code, contract class, associated contracts, process description, collaboration type, guarantees, penalties.

Example:

```
TIES DATA EXCHANGE LEVEL - A    PERIOD : 80-2
ID Key : 000003
R E C I P I E N T
Country code : POL              Industrial code : 3903
Foreign holding :  37 %     Country of foreign holding :
Company type :  private
Name     : FABRYKA SPRZETU TENISOWEGO S.A.
Address : AL.NIEPODLEGLOSCI 198 ZAGORZE WOJ.BIALOSTOCKIE
S U P P L I E R
Name     : NOKIA AB,OY
Address : MIKONKATU 15,PL 226 SF-00100 HELSINKI 10
Country code : FIN
UNCTC code    : noy0120
C O N T R A C T
Object  : licence for tennis rackets and frames manufacturing
Industry code (ISIC)    : 3903
Product code (SITC)     : 894.72 ;
Contract class : licence
Associated contracts : sales/marketing
Process :
Contract date of approval : 8405          Contract duration :
Collaboration type : know-how
                     trade mark
Guarantees :                                Penalties :
   process performance %                        process performance
   equipment           %                        equipment
   time                %                        time
   patent validity     %                        patent validity
```

5.3 TIES II B

The periodic exchange of non-financial data and detailed information on the financial terms of the contract. This information indicates addition to TIES II A, on contract terms the following: royalty rates, royalty base, lumpsum, level reimbursable fees, currency codes, exchange rates, personal expresses covered by the recipient, annual approved payments, total approved payment.

Example:

```
TIES DATA EXCHANGE LEVEL -B     PERIOD : 80-2
ID Key : 000001
R E C I P I E N T
Country code : POL              Industrial code : 3825
Foreign holding :   0 %     Country of foreign holding :
Company type :  state or government
Name     : INSTALMASZ P.P.
Address  : STAWKI STREET NO.10 GDANSK
S U P P L I E R
Name     : INTERNATIONAL COMPUTERS LTD
Address  : ICL HOUSE.PUTNEY DUBLIN SW15 1SW
Country code : IRE
UNCTC code   : icl0088
C O N T R A C T
Object  : licence for air filters to computer disc drives manufacturin g
Industry code (ISIC)    : 3825
Product code (SITC)     : 759.9  ;
Contract class : licence
Associated contracts : loans
Process :
Contract date of approval : 8409          Contract duration : 05
Collaboration type : know-how
                     trade mark
                     patent
                     preinvestment consulting
                     training
C O N T R A C T   T E R M S
Royalty A % -  3.3
Royalty B % -  0.0  Royalty B level -       0
Description royalty base :
Reimbursable fees
    senior professional      month              Fee :      210
    junior professional      month              Fee :      160
    technician               month              Fee :      100
Currency code         : USA
Exchange rate to US$ : .0094
Comments :
Personnel expenses covered by recipient : accommodation
Guarantees :                              Penalties :
   process performance x                      process performance
   equipment            x                     equipment
   time                 x                     time
   patent validity      x                     patent validity
Annual approved payments :        6280
Total approved payments  :       31400
```

6. All information at TIES I, IIM, IIA, IIB shall be exchanged on a half yearly basis (January - June and July - December)

7. An institute becomes a TIES member when it officially has indicated to the director of the Division of Industrial Studies that it so wishes. An Institute has access to the TIES data case however only when it has submitted to UNIDO for processing and subsequencial exchange a set of information covering a period of six months.

8. UNIDO will use the TIES database only when authorized by the TIES members for the use of studies or advisory services.

9. All TIES member institutions will forwarded to UNIDO its annual report. An updated country profile and other relevant information or studies to be exchanged through publication in the TIES Newsletter or the annual TIES report on trends in technology transfer.